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ABSTRACT

This filing manual was developed to address certain problems unique to music catalog filing. Prior to development of the manual, a thorough study of the existing arrangement in the Northern Illinois University Music Library's catalog was undertaken and staff members were interviewed to determine the extent of "unwritten" rules, if any existed. The rules in this document were designed to conform as closely as possible to existing filing practice in the Music Library; the new elements are principally more detailed explanations of the basic rules, and many new rules governing problematic situations such as uniform titles are introduced. The general emphasis of these rules is literal; the major exception is the treatment of subject headings, in which a traditional hierarchical approach is applied. There are also special rules to allow interfiling of some AACR1 (Anglo American Cataloging rules, 1st edition) and AACR2 (Anglo American Cataloging Rules, 2nd edition) uniform titles. There are no rules governing the filing of printed versus recorded manifestations of music or works by authors versus works about authors. Many of the examples illustrating the rules were contrived especially for this manual, and do not necessarily represent valid AACR2 headings or Library of Congress (LC) subject headings. (THC)

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FILING RULES

OF THE

NORTHERN ILLINOIS UNIVERSITY

MUSIC LIBRARY

H. Stephen Wright
Music Librarian
1986

TR051653

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INTRODUCTION

This filing manual was developed in early 1986. Prior to this, the only filing manual in use at the NIU Music Library was a single sheet of basic rules included in a student employee procedure manual, supplemented with a copy of the rules used in NIU's main library. Though these basic rules were sufficient to cover many filing situations, they did not address certain problems unique to music catalog filing; as a result, numerous problem areas appeared in the catalog, especially under headings for prolific composers such as Bach and Mozart.

Before writing this manual, I studied the existing arrangement in the Music Library's catalogs and interviewed staff members to determine the extent of "unwritten" rules, if any. The rules herein were designed to conform as closely as possible to existing filing practice in the Music Library; the new elements are principally (1) more detailed explanation of the basic rules, and (2) many new rules governing problematic situations such as uniform titles.

The general emphasis of these rules is literal; the major exception is the treatment of subject headings, in which a traditional hierarchical approach is applied. There are also some special rules to allow interfiling of some AACR1 and AACR2 uniform titles.

It should be noted that the NIU Music Library maintains separate catalogs for sound recordings and printed materials, and that each catalog is divided into author/title and subject sections; thus there are no rules governing the filing of printed vs. recorded manifestations of music or works-by-authors vs. works-about-authors.

Users of this manual should also note that many of the examples illustrating these rules were contrived especially for this manual, and do not necessarily represent valid AACR2 headings or Library of Congress subject headings.

My thanks to graduate assistant Stacey Pearson, who proofread the manuscript and provided helpful suggestions.

H. Stephen Wright
DeKalb, Illinois
May 1986

1 GENERAL RULES

1.1 File in alphabetical order, giving equal filing emphasis to upper and lower case letters; make exceptions only where specified in these rules.

1.2 File word by word, following the "nothing before something" principle: a shorter word files before a longer word beginning with the same letter(s).

Han Solo's revenge
Hand me the piano
Handbook of music
Hands across the sea

1.3 File element by element, again following the "nothing before something" principle: a shorter element files before a longer element beginning with the same word(s).

Music
Music in America
Music in America since 1900

An element is a word or a group of words forming a complete statement on a catalog card. The following is a list of the various elements that may appear on a card (of course, not every card will contain all of these elements):

A. Added entry

This may be an author, a title, or a subject heading. An added entry is always regarded as a complete filing element, with the exception of author-title added entries; in such cases the author and title portions are regarded as separate elements.

B. Author main entry

This may be a personal, place, or organizational name.

C. Uniform title

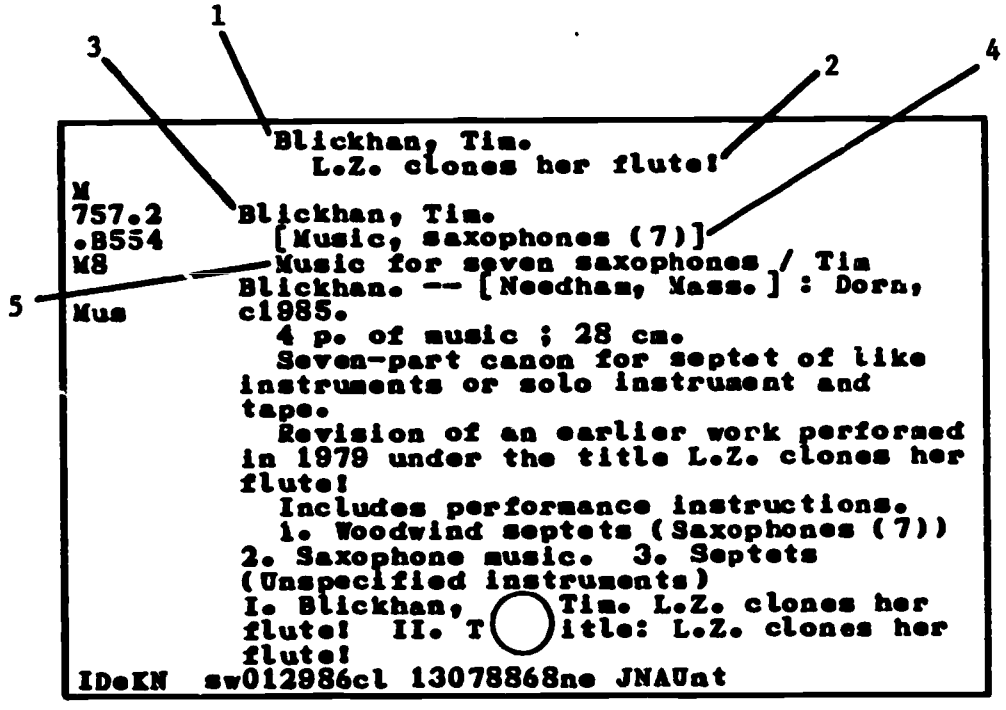
This usually appears in brackets directly below the author's name.

D. Transcribed title

This is also known as the title-page title; it is the title as it appears on the item. The transcribed title begins directly below the uniform title, or directly below the author's name if there is no uniform title, or it may be the first element on the card. It ends, with a period, immediately before the edition statement or publication information begins. It may include the names of authors, or, in the case of sound recordings of several different works, it may include more than one distinct title. For filing purposes, consider the entire transcribed title up to the period as a single

element; do not disregard subtitles, additional titles, or author's names which appear in conjunction with it. The sole exception is the phrase [sound recording] (appearing in brackets); this is always disregarded.

The following example illustrates some of the common filing elements:



1. Author portion of author-title added entry
2. Title portion of author-title added entry
3. Author main entry
4. Uniform title
5. Transcribed title

When comparing two cards for filing purposes, compare the first (i.e., uppermost) element on the first card with the first element on the second card; if these are identical, compare the second elements, third elements, etc., continuing until a difference is found. If the filing elements on one of the two cards are exhausted before a difference can be found, file the card with fewer elements first.

1.3.1 Subarrangement of cards with identical filing elements

If two cards contain the same number of filing elements, and all elements are identical up to the end of the transcribed title, subarrange them as follows:

A. Books and scores (sheet music):

Subarrange by publication date, in reverse chronological order

(with the most recent year first); then alphabetically by publisher name; then in the following order (for scores): score with parts, score only, miniature score only, parts only.

B. Sound recordings:

Subarrange by manufacturer name, then alphabetically and numerically by manufacturer's serial number.

If all of the above factors are considered, and a difference still cannot be found, file at random.

1.4 Special characters

1.4.1 Numerals

Numerals (numbers expressed as digits) file numerically (from lowest to highest) before all letters of the alphabet. Likewise, dates expressed in numerals are filed chronologically; the sole exception is dates appearing in the publication information area, as specified in rule 1.3.1 A above.

Numbers expressed as words (i.e., spelled out) are filed alphabetically.

Roman numerals file as their Arabic equivalents.

3 dramatic fanfares
5 virtuoso etudes
100 ways to improve your singing
1984
2001, a space odyssey
2010, odyssey 2

Beethoven's 9 symphonies
Beethoven's nihilism
Beethoven's nine symphonies

Encounters 5
Encounters VI
Encounters 7

For guidance on handling problematic numerals such as fractions, consult ALA Filing Rules (1980 edition), pages 30-34.

1.4.2 Initialisms and acronyms

Initials separated by punctuation marks and/or spaces are treated as separate words. Acronyms and initialisms not so separated are treated as single words.

I.C.R.M. monographs
I can play the flute
I. N. Runciter's clarinet method
The IBM PC and music
Islands in the stream

1.4.3 Initial articles

Initial articles are ignored, with the exception of articles which are an integral part of personal name headings (such as La Barbara, Joan) and place name headings (such as Los Angeles).

Disregard initial articles preceding organizational names, unless the article is an integral part of a personal or place name that begins the organizational name (e.g., Los Angeles Philharmonic).

For a listing of articles in various languages, see the Appendix, p. 10.

1.4.4 Hyphens

The hyphen is regarded as a space for filing purposes; characters or groups of characters separated by hyphens are treated as separate words.

String instrument repair
String-orchestra classics
Stringing along

1.4.5 Abbreviations

Abbreviations are filed exactly as spelled, not as pronounced.

Saint-Saëns, Camille, 1835-1921
St. Louis Symphony Orchestra
Starer, Robert

The sole exception is "U.S.," which is filed as "United States."

1.4.6 Ampersand (&)

The ampersand is filed as the spelled out equivalent in the appropriate language:

Danish	og
Dutch	en
French	et
German	und
Italian	e (ed before a word beginning with e)
Latin	et
Norwegian	og
Portuguese	e
Rumanian	si
Spanish	y (é before a word beginning with i or hi)
Swedish	och

The abbreviation "&c." is filed as "etc."

Music and culture
Music & youth
Music, &c.
Musik und Kultur
Musik & Kunst (& filed as und)

Musique & psychologie (& filed as et)
Musique et science

An exception to the above rule is made for ampersands appearing in uniform titles; see rule 2.5.11.

1.4.7 Modified letters

Modified letters are filed as their unmodified equivalents.

Schoenberg, Arnold, 1874-1951
Schonberg, Harold C.
Schönberg's serialism
Die schöne Mullerin

1.4.8 Musical signs

The musical sharp (♯) and flat (♭) signs are filed as their spelled out English equivalents; when the signs appear in conjunction with a letter representing a musical note, the letter and the symbol are treated as separate words (i.e., C♯ files as C sharp; B♭ files as B flat).

1.4.9 Other symbols and punctuation marks

Other symbols and punctuation marks (*, $, +, ¢, etc.) are generally ignored in filing (however, certain exceptions are made for filing of subject cards; see rule 2.6.2). Words containing apostrophes are filed as single words, exactly as spelled.

Do not go gentle into that good night
Don Thompson's complete fake book
Don't bother to knock

2 SPECIAL RULES

2.1 Author-Title catalogs

Headings in the Author-Title catalogs which begin with the same word are arranged hierarchically in the following order:

A. Personal names

1. Forenames (such as George IV)

2. Simple surnames (such as George, Susan)

3. Compound surnames (such as George-Adams, William [note that the hyphen is ignored; see rule 1.4.4])

B. Place names

Place names followed by a period and an organizational name (e.g., London. Occidental College) are filed as place names.

C. Organizational names

D. Titles

Frederick II, King of Prussia, 1712-1786	(Forename)
Frederick, Andrew F.	(Simple surname)
Frederick-Adams, Annette	(Compound surname)
London, Philip	(Personal name)
London. Occidental College	(Place name)
London Baroque Ensemble	(Organizational name)
London Symphony Orchestra	(Organizational name)
London and its musical life	(Title)

2.2 Prefixes in name headings

Prefixes (such as articles, prepositions, and other conjunctions) appearing with personal, place, and organizational names are treated as separate words only if they are separated by spaces or hyphens. Names with prefixes not separated in any way, or separated only by apostrophes without spaces, are treated as single words.

Da Ponte, Lorenzo, 1749-1838
D'Accone, Frank A.
De Jong, Gerrit, 1892-
De la Mare, Walter
Debussy, Claude, 1862-1918
DeFord, Ruth I.
Delaney, Hugh

2.3 Honorifics and terms of address

Honorifics (such as Sir, Dame, etc.) and terms of address (Mr., Mrs., etc.) appearing in name headings are disregarded.

2.4 Relators

Disregard all relators (words showing the role or function of a person or organization) in name headings.

Commonly appearing relators include "ed.," "arr.," "comp.," "musician," and "tr."

2.5 Subarrangement of uniform titles

2.5.1 Entries with uniform titles are interfiled with entries without uniform titles.

2.5.2 Interfile singular and plural forms of the names of musical forms in uniform titles, regarding them as if they were all plural.

[Symphonies, no. 1]
[Symphony, no. 2]
[Symphonies, no. 3]

2.5.3 Entries with the uniform title [Works] (as well as other uniform titles beginning with the word [Works]) are filed at the beginning of the sequence of cards for a composer.

2.5.4 A numeral preceding the name of an instrument or voice in a uniform title is considered as if it followed the name of the instrument or voice.

[Divertimentos, flutes (3), piano]
[Divertimentos, 4 flutes, clarinet]
[Divertimentos, flutes (4), piano]

2.5.5 Disregard the words [Sound recording] or [Phonodisc] (appearing in brackets) with uniform titles. (See example following 2.5.6 below.)

2.5.6 Disregard dates not in parentheses appearing as the final elements of name-title added entries for sound recordings.

Respighi, Ottorino, 1879-1936. Pini di Roma [sound recording] 1983. Five orchestral spectaculars . . .	([sound recording] and 1983 are ignored)
Respighi, Ottorino, 1879-1936. Pini di Roma. 1979. Orchestral fireworks . . .	(1979 is ignored)
Respighi, Ottorino, 1879-1936. Pini di Roma. The Philadelphia Orchestra plays four brilliant works . . .	
Respighi, Ottorino, 1879-1936. [Pini di Roma] [Sound recording] Pines of Rome . . .	([Sound recording] is ignored)

2.5.7 The name of a language appearing in a uniform title is ignored if it is

the work's original language. If it is not the work's original language, the language name is considered in filing.

Mozart, Wolfgang Amadeus, 1756-1791.
[Zauberflöte. German] (filed as [Zauberflöte])

Mozart, Wolfgang Amadeus, 1756-1791.
[Zauberflöte. English] (filed as is)

2.5.8 Uniform titles beginning with the word "Concerto" or "Concertos" but lacking the name of an accompanying ensemble should be filed as if the word "orchestra" followed the name of the solo instrument.

Beethoven, Ludwig van, 1770-1827.
[Concertos, piano, no. 1, op. 15, C major]
First piano concerto . . .

Beethoven, Ludwig van, 1770-1827.
[Concertos, piano, orchestra, no. 1, op. 15, C major]
Piano concerto no. 1 in C major . . .

Beethoven, Ludwig van, 1770-1827.
[Concertos, piano, no. 1, op. 15, C major]
Piano concerto no. 1, op. 15 . . .

2.5.9 The phrase "Piano-vocal score" appearing in a uniform title is filed as "Vocal score."

2.5.10 The ampersand (&) in a uniform title is regarded as a comma.

[Sonatas, clarinet, piano, no. 1]
[Sonatas, clarinet & piano, no. 2]
[Sonatas, clarinet, piano, no. 3]

2.6 Subject heading arrangement

2.6.1 File subject headings beginning with personal, place, or organizational names in the following order:

A. Personal names (further subarranged as specified in rule 2.1 A)

B. Place names

C. Organizational names

LONDON, JACK	(Personal name)
LONDON. COVENT GARDEN THEATRE	(Place name)
LONDON BAROQUE ENSEMBLE	(Organizational name)

2.6.2 Subject headings (other than those beginning with personal names) are arranged hierarchically according to their punctuation, as follows:

A. Topic name alone

B. Topic name followed by a period and additional word(s)

C. Topic name followed by a dash (--) and additional word(s)

Subject headings containing the dash are further subarranged as follows:

1. Chronological subdivision (e.g., --19TH CENTURY)

These are arranged chronologically as follows:

a. --ANCIENT/--TO 400 [interfiled]

b. --TO 500

c. --TO 1800

d. --MEDIEVAL/--400-1500/--MEDIEVAL, 400-1500 [interfiled]

e. --500-1400/--MEDIEVAL, 500-1400 [interfiled]

f. --15TH CENTURY

g. --16TH CENTURY

h. --17TH CENTURY

i. --18TH CENTURY

j. --19TH CENTURY

k. --20TH CENTURY

2. Topical and form subdivisions (e.g., --HISTORY AND CRITICISM)

3. Geographic subdivision (e.g., --UNITED STATES)

D. Topic name followed by a comma and additional word(s)

E. Topic name followed by word(s) in parentheses

F. Topic name in a phrase without punctuation

Examples illustrating rule 2.6.2:

LONDON, JACK
LONDON. COVENT GARDEN THEATRE
LONDON--SONGS AND MUSIC
LONDON, TREATY OF, 1915
LONDON (ENGLAND)
LONDON SYMPHONY ORCHESTRA

MUSIC
MUSIC--TO 500
MUSIC--MEDIEVAL, 500-1400
  Jamison, Herbert T.
MUSIC--500-1400
  Nelson, Martha

MUSIC--17TH CENTURY
MUSIC--20TH CENTURY
MUSIC--BIBLIOGRAPHY
MUSIC--HISTORY AND CRITICISM
MUSIC--HISTORY AND CRITICISM--TO 400
  Allen, Philip
MUSIC--HISTORY AND CRITICISM--ANCIENT
  Byron, Timothy
MUSIC--HISTORY AND CRITICISM--MEDIEVAL, 400-1500
  Adamson, Cyril
MUSIC--HISTORY AND CRITICISM--400-1500
  Dunn, Marie
MUSIC--HISTORY AND CRITICISM--17TH CENTURY
MUSIC--HISTORY AND CRITICISM--18TH CENTURY
MUSIC--THEORY
MUSIC--GERMANY
MUSIC--UNITED STATES--20TH CENTURY
MUSIC--UNITED STATES--BIBLIOGRAPHY
MUSIC, AMERICAN
MUSIC, INCIDENTAL
MUSIC, POPULAR (SONGS, ETC.)
MUSIC, PRIMITIVE
MUSIC (COMPUTER SYSTEM)
MUSIC AND ARCHITECTURE
MUSIC AND SOCIETY

2.6.3 Instrumental and vocal subject headings

Numerals appearing in subject headings to designate the number of instruments or voices in a composition are treated as if they <u>followed</u> the appropriate instrument or voice name.

SONATAS (PIANO)
SONATAS (PIANOS (2))
  Mozart, Wolfgang Amadeus, 1756-1791
SONATAS (2 PIANOS)
  Persichetti, Vincent, 1915-
SONATAS (PIANOS (3))

SUITES (CLARINETS (2), FLUTES (2))
SUITES (2 CLARINETS, 3 FLUTES)
SUITES (CLARINETS (3), FLUTES (3))

APPENDIX

Articles in various languages

A	English, Hungarian, Portuguese, Yiddish
al-	Arabic
An	English, Yiddish
As	Portuguese
Az	Hungarian
Bir	Turkish
Das	German
De	Danish, Dutch, Norwegian (Bokmål), Swedish
Dei	Norwegian (Nynorsk)
Den	Danish, Norwegian, Swedish
Der	German, Yiddish
Det	Danish, Norwegian, Swedish
Di	Yiddish
Die	Afrikaans, German, Yiddish
Dos	Yiddish
Een	Dutch
Eene	Dutch
Egy	Hungarian
Ei	Norwegian (Nynorsk)
Ein	German, Norwegian (Nynorsk), Yiddish
Eine	German, Yiddish
Eit	Norwegian (Nynorsk)
el-	Arabic
El	Catalan, Spanish
Els	Catalan
En	Danish, Norwegian (Bokmål), Swedish
Et	Danish, Norwegian (Bokmål)
Ett	Swedish
Gl'	Italian
Gli	Italian
ha-	Hebrew
Hai	Greek
He	Hawaiian
Hē	Greek
he-	Hebrew
Heis	Greek (Modern)
Hen	Greek (Modern)
Hena	Greek (Modern)
Henas	Green (Modern)
Het	Dutch
Hio	Icelandic
Hin	Icelandic
Hinar	Icelandic
Hinir	Icelandic
Hinn	Icelandic
Ho	Greek
Hoi	Greek
I	Italian
Il	Italian

Ka	Hawaiian
Ke	Hawaiian
L'	Catalan, French, Italian
La	Catalan, Esperanto, French, Italian, Spanish
Las	Spanish
Le	French, Italian
Les	Catalan, French
Lo	Italian, Spanish
Los	Spanish
Mia	Greek (Modern)
'n	Afrikaans, Dutch
Na	Hawaiian
Një	Albanian
Nji	Albanian
O	Hawaiian, Portuguese, Romanian
Os	Portuguese
't	Dutch
Ta	Greek
The	English
To	Greek
Tō	Greek (Classical)
Um	Portuguese
Uma	Portuguese
Un	Catalan, French, Italian, Romanian, Spanish
Un'	Catalan, French, Italian, Romanian, Spanish
Una	Catalan, Italian, Spanish
Une	French
Uno	Italian
Y	Welsh
Yr	Welsh

The following languages contain no articles: Czech (Bohemian), Estonian, Finnish, Latin, Latvian, Lithuanian, Russian, Serbo-Croatian, Slovak, Slovenian, and Ukranian.